

GUIDELINES FOR EXECUTIVE DEVELOPMENT IN THE FEDERAL SERVICE

Objectives:

Effective management, largely a function of effective managers, through Executive Development (ED).  
Essential management continuity, without loss in responsiveness and flexibility, through Executive Development.  
Best use of available talent within the Federal Government, without exclusion of those entering from the outside, through Executive Development.  
Broadened perspectives, knowledges and skills through Executive Development.  
Achievement of Executive Development by the identification and development of high-potential employees in mid-management (normally GS 13-15) and the provision of developmental experiences for incumbent executives (normally GS 16-18).

CRITERIA AND APPROACHES IN GUIDELINES  
FOR IMPLEMENTATION OF GUIDELINES  
BY INDIVIDUAL AGENCIES

SUGGESTED INTERNAL CRITERIA AND APPROACHES  
FOR APPLICATION IN THIS AGENCY

FEDERAL GUIDELINE I: High Level of Organization Commitment

A. Develop and announce a policy for executive development enabling each executive and aspirant to develop to the fullest extent, consistent with agency needs and his interest and abilities. Announce in policy the resources to be committed.

B. Assign responsibility for ED to a principal assistant who regularly reports to the agency head. His primary duty is to insure that ED programs meet organization goals and priorities.

C. Establish high-level Executive Manpower Resources Board (EMRB), consisting of organization executives to:

- (1) monitor executive development and review progress toward organization objectives;
- (2) report stewardship of executive resources to agency head annually.

A. Prepared and forwarded to CSC, per its requirement, a statement of the basic policy, organizational structures and processes that will be followed by CIA in implementing an ED program, compatible with Federal Guidelines (See Tab B).

B. ED/C has assumed this responsibility.

C. Designated Deputies' Meeting as EMRB, with collective responsibility for formulating, implementing and monitoring Agency-wide program to achieve Agency objectives and to meet Federal Guidelines.

Followed by ED/C in implementing program to achieve Agency objectives and to meet Federal Guidelines.

9. Number of boards within each agency to depend upon its structure and mission. Where formalized career programs are used, an agency may want a board for each.)

Designate an Executive Manpower Management Officer (EMMO), normally the personnel head, to provide a focus for all executive manpower activities and to report on the program directly to the principal assistant for ED. EMMO can act as executive director of EMRB. EMMO to review internal developmental activities and development assignment systems; maintain liaison with CSC; and conduct studies on ED. He will supply guidance to supervisors on availability and relevance of development and training assignments; assist them in employee coaching and counseling; and help them to prepare executive development documents. He will act as principal advisor and coordinator of developmental activities when personnel management is accomplished by formalized career programs and he will exercise, as his principal function, the coordination of all matters relating to executive development.

#### FEDERAL GUIDELINE II: Development Plans for Each Mid-Manager or High Potential Executive

Identify and develop an appropriate number of high-potential mid-managers for executive vacancies. (Not practical or economical to invest in the same amount of development for each employee reaching mid-management level.)

D. Advised CSC that Agency will rely upon Deputy Directors, Career Service Heads and career service structures to manage ED program.

E. D/Pers was designated EMMO and given responsibilities outlined for EMMO in Federal Guidelines. ED/C informed D/Pers that his principal role will be to provide advice to ED/C and Deputies; formulate ED criteria and suggested procedural approaches; and provide detailed staff assistance to career service officials and supportive staffs, as appropriate. In lieu of using fixed formats and reports, ED/C has requested D/Pers to provide illustrative materials that can be used or adapted, as applicable, by Directorates and career services in managing their own ED systems.

A. Career services should take the following considerations into account in the process of identifying and developing individuals within the Grades GS 13-15 who are believed to have executive potential.

(1) Requirements for effective performance vary in different executive positions. Critical elements of effectiveness in key jobs should be identified, ranked in importance, and

- applied in the identification and development of executive candidates.
- (2) Specific FD plans and actions should be tailored to identifiable gaps in the individual backgrounds of candidates, both in their performance and their abilities relating to prospective future utilization. (As an example, see Individual Gap Sheet for SP careerists in Tab C.)
- (3) Employees with recognized executive potential may be needed where they are assigned and difficult to replace. Career service interests, however, may best be served by fairly long-range and careful planning to determine how those with executive potential can be moved to achieve a developmental purpose with minimum disruption, not only to accommodate the overriding needs of the career service and the individual concerned but also to assure the effective utilization of the employees concerned during the course of their developmental activity.
- (4) Although it is frequently difficult to make firm long-range plans covering future incumbents of senior positions, it is possible, by focusing on this issue, to avert most ill-prepared or precipitous changes. Planning will permit alternative choices and pertinent personal development to take place. Even if some contingency planning does not materialize, properly selected development of promising individuals will be beneficial.
- (5) Selections of candidates for executive positions and their subsequent development (including maintenance of records on their status) must be handled in a way that misunderstandings will not result or lead to charges of elitism.
- (6) Officers in Grades GS 13-15 selected for specific developmental training and assignments should be counseled, whenever feasible, that actions affecting them are being taken to enhance their career opportunities and effectiveness. In general, they should not be told that they are candidates for executive positions.

Need mechanisms for identifying high-potential individuals, e.g., performance appraisal systems, other performance standards, training reports and personnel inventories.

Determine number of mid-managers to be developed for executive prospects by analysis of organizational growth and expected turnover. The organization should identify the skills, knowledge and experiences applicable to key jobs and select an adequate number of high-potential individuals GS 13-15 to meet these needs.

B. Need to supplement Fitness Reports, assignment and promotional reviews, panel rankings, use of objective criteria, training reports, employee folders, and other formal or informal devices used by career services for specifically evaluating management and executive potential.

New basic approaches deemed to have particular usefulness, include the development of career service and training models and listings of progressive experiences considered appropriate for upward movement into senior positions within a career service. (Obviously, these models and progressive experiences vary among career services and should be tailor-made to their own set of relevant considerations.) In addition, further study should be given to possibilities for further use of psychological findings and measures of managerial effectiveness; experimentation with assessment centers; and better validation of training courses. Career services should seek, from the offices concerned, statistical information, analyses or other information that would assist them in managing specific aspects of their ED program.

As supplements to career service and training models, the specific requirements of key and executive positions should be specified to facilitate their consideration in the personal development of prospective candidates.

C. Each career service should forecast expected losses in positions, or categories of positions, (e.g., chiefs of station) in Grades GS-15 and above, preferably for a three or four year period. Ordinarily, two or more candidates should be identified from among employees in Grades GS-13 and above for each job vacancy. When the exact executive positions to be vacated by departing officers cannot be predicted and only organizational functional groups can be identified (such as branch or station chiefs), twice as many executive candidates as future executive vacancies should be identified by organizational functional groups.

It should be kept in mind the replacement of an executive usually creates a wave of other vacancies in the grade structure below. As

Prepare for each incumbent executive and mid-manager selected for executive development an individual development plan designed to improve his performance and to prepare him for prospective executive job(s). Individual plans could include:

- (1) self-initiated activities (professional association activities; technical personal skills acquisition, and reading programs);
- (2) training in managerial perspectives (such as reorientation of outlook and re-evaluation of priorities); management techniques and skills (for example: ADP budgets, operational research, labor-management relations, counseling, program funding, nature of political leadership and knowledge of influence structures); and professional and occupational knowledge or techniques (formal agency or inter-agency courses, formal courses at an education institution and participation in professional conferences and seminars);
- (3) developmental assignments, including short-term temporary assignments and permanent rotational assignments.

in the case of handling an unexpected vacancy, planned turnover and development usually involve filling a number of positions and identifying a number of candidates for each. (As a simple illustration of an executive candidate roster, see Tab D.)

D. The Agency apprised OSC that formal individual career plans were tried unsuccessfully in the Agency. Individualized reviews and planning of the developmental needs of specific individuals (i.e., most relevant to them and their prospective utilization) are recognized, however, to be valuable tools. These actions can be taken in a variety of ways, by different levels of officials, and for varying reasons. For ED purposes, career reviews should encompass most, if not all, careerists in Grades GS 13-15. (These reviews should not be confined to individuals currently considered eligible for promotion or available for assignment.)

The combined listing in one paper of all individual developmental needs identified by a career service is an easy method of establishing training and assignment inventories for ready reference and planned implementation by the CMO or career service representatives. It provides a systematic focus while avoiding the shortcomings of formalized plans. (As a simple illustration of developmental requirements listing for executive candidates, see Tab D.)

E. Need to recognize that increased career interviewing and coaching will be required.

### FEDERAL GUIDELINE III: Improved Mobility Programs

A. Need organizational, occupational mobility programs to support ED efforts. (Much development is best accomplished on the job.) Agencies should have a systematic plan for rotational assignments within bureaus and should work out mobility programs across agency lines for which individuals may volunteer. Each agency's system should be based upon individual development plans. Some rotations fitting desired mobility patterns are: similar jobs in different geographical areas; similar jobs at different places in headquarters or in a field installation; similar jobs within different organizations; and jobs involving similar leadership or administrative skills in different areas.

E. In a written communication, each career service should explain its ED program to careerists under its jurisdiction -- objectives, approaches and participating arrangements. Careerists should be invited to express their personal interests in jobs or training that would enhance their future usefulness. They should be informed, however, that actions subsequently taken in consonance with their expressed desires are to be construed only as efforts to improve their qualifications and career status, rather than as evidence of their participation in an ED program.

A. In the November Deputies' Meeting and in the Director's last Annual Conference, increased mobility of well-qualified officers and executives was advocated. Following these meetings, the Director of Personnel prepared proposals providing for (1) expanding the use of Vacancy Notices throughout the Agency; and (2) facilitating the transfer of employees across career service lines in order to fill priority needs; resolve personnel surpluses; and develop selected personnel. The papers indicate that the institutional capacity to move able employees to points of optimum utilization is a common interest of the Directorates and the Agency. The papers also focus on the policy advantages of encouraging worthwhile requests to be made and promptly settled, with full consideration of the respective interests of the offices and individuals affected. Final action on these proposals should materially contribute to implementation of Guideline III.

Each career service should evaluate the needs of individual careerists to receive work experiences other than those previously received. Essentially, the success of an increased mobility program in the Agency is contingent upon each career service taking the time to plan the kinds of developmental work experiences that are needed by individual careerists and taking into account their personal backgrounds, previous experiences and probable future utilization and potential. Most developmental work experiences of any duration should be accomplished relatively early in the career-life of officers (a time of learning and least disruption). Individual actions can be systematically decided upon by each career service if it establishes a preferred pattern of developmental work

B. Among the possibilities for short-term mobility assignments are: task force and committee assignments; understudy and vacation replacement assignments; and interchange assignments with industry and educational institutions.

#### FEDERAL GUIDELINE IV: More Effective Training Resource Utilization

Review training systems in the light of needs contained in individual development plans, in order that appropriate resources can be used or obtained. Also, review training programs to determine if they adequately reflect most recent trends in education and training.

Emphasize agency-oriented executive training in training programs and put trainees from different parts or organizations together in learning situations.

Develop and publicize specific criteria for executive training programs. Examples mentioned in Guideline IV are: specified percentage of man-hours to be devoted to developmental training each year; attendance at FEI, as a concomitant to appointment to executive positions; and annual sponsorship of a number of executive exchanges.

experiences. A model could be developed and generally applied to officers in the career service or a model could be prepared and used for a specified group of officers pursuing a functional or geographical specialty.

B. Career services are encouraged to consider field orientation trips for selected employees when the expected developmental benefits would justify the costs involved. Moreover, orientation trips may be used productively to familiarize employees with area or program activities that they need to know to effectively do their current or planned assignments.

In recent months, comprehensive Agency studies have been made of training from many viewpoints: policy, program, structure, system, technique, cost, relevancy and effectiveness. These reviews were undertaken with the intention of linking training resources more closely to personal development. With this objective in mind, a number of major issues have evolved, including: responsiveness of training to the individual needs of career services; selection and availability of well-qualified employees for developmental training; relative value of different training courses; relative value of internal versus external training; validation of training results; and appropriate kinds of professional training at different managerial levels.

A number of significant changes have been effected or are in motion that should raise the quality of personnel management in the Agency and help the Directorates and career services to accomplish their developmental programs. The following is a partial listing of major proposals and improvements:

- (1) A core program of six courses has been established (with revised explanations of purposes and eligibility requirements) as the basic training system for personal development.

Satisfy an agency's needs for training by putting together appropriate combinations of various delivery systems available, including: agency orientations; program skill courses; OD seminars; personal skills development courses; inter-agency courses involving management and technical skills; and non-governmental programs, such as academic and commercial courses.

ment of promising officers during their Agency careers;

- (2) management training has been strengthened, e.g., the Managerial Grid and Fundamentals of Supervision and Management have been added to the core program, and elements of management training have been added to other core courses; and

- (3) consideration is being given to a leadership conference for senior officers and to the development of a new branch chief course (or a course for GS 13-15's selected for executive development) that could concentrate intensively upon Agency-oriented management problems, management situations and management applications, having particular reference to the branch level and above.

New and more responsive training resources constitute an important first step, but their value depends mainly upon a more systematic effort throughout the Agency to implement individual training requirements. Annually or semi-annually, each career service should determine which developmental needs possessed by candidates for personal or executive development can best be accommodated by training. Importantly, these decisions should take into account the most appropriate kind of training that should be used. In essence, this concept starts with individual developmental needs and fitting training (or other developmental actions) to them, rather than finding suitable candidates to fit available training courses or responding to employee requests for internal or external training. (The latter may or may not relate to an employee's developmental need or his potential for further development as seen by his career service.) The time required to implement planned training arrangements tends to be offset by the time otherwise consumed in going through the motions in individual cases of consultations, circulations of curricula, securing approvals, etc. Moreover, good planning will avoid much of the chronic difficulty encountered in making able officers available for training.

In order to program activities and staffing needs, OTR genuinely needs to obtain reasonably accurate forecasts of training requirements well



FEDERAL GUIDELINE V: Improved Development

A. Operate mechanisms for evaluating the effectiveness of ED programs at several levels. These include reviews to determine the effectiveness of developmental experiences for individuals; effectiveness of sub-systems (performance appraisal, identification processes, actual promotions versus quality of those promoted, training); and the effectiveness of the total program. Provide feedback on specific results in achieving criteria and approaches shown under each of the Guidelines.

B. Give special attention to current utilization of resources and plans in carrying out ED programs. Utilize ED objectives as standards for evaluating the actual distance covered toward attainment of objectives.

[The CSC will periodically review agency plans and progress and combine its findings in a report to the President on the state of executive development.

Program Evaluation

in advance -- some of them a year ahead, such as the core courses. Once requirements are received, OTR should be able to rely upon the projected enrollments remaining reasonably firm. The changes being made to link training requirements to personal developmental needs should facilitate realization of these requirements, and it is believed a comprehensive listing of training requirements, both developmental and non-developmental, in the new Annual Personnel Plan (now under preparation) will provide a vehicle for career services to perform the important task of planning and forecasting training needs.

A. Through the EMRB mechanism, ED/C Deputies will generally monitor ED program. Career services heads will annually report to Deputy concerned on ED program. ED/C will review annual progress within each Directorate with Deputy concerned. D/Pers, as EMRO, will provide policy proposals to EMRB and staff assistance to career services.

Specific standards for evaluating the success of developmental programs in the career services will be considered after the career services have had sufficient time to assess their particular developmental needs and to determine the thrust and scope of their future personal developmental programs.

B. Among items to be studied in facilitating and evaluating the future effectiveness of the Agency's ED program are the following:

- (1) evaluating criteria for incumbent executive versus pre-executive programs;
- (2) method of selecting ED candidates;
- (3) nature and diversity of executive tasks;
- (4) specific objectives for measuring program success;

Government-wide and for each agency." The Guideline indicates that both the substance and form of these evaluations will be modified by continuing experience.]

- (5) value of different developmental methods;
- (6) feasibility of developmental transfer; and
- (7) development of specialists as managers.